


09-11-00

A


Please type a plus (+) inside this box - 

PTO/SB/29 (12/97)

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

 09/08/00 1c678 U.S. PTO	UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	8449-115-999	Total Pages	64
		First Named Inventor or Application Identifier			
		Pramod K. Srivastava			
		Express Mail Label No.	EL 501 633 878 US		

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form Submit an original, and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages <u>36</u>] (preferred arrangement set forth below) -Descriptive title of the Invention -Cross Reference to Related Applications -Statement Regarding Fed sponsored R&D -Reference to Microfiche Appendix -Background of the Invention -Brief Summary of the Invention -Brief Description of the Drawings (if filed) -Detailed Description of the Invention (including drawings, if filed) -Claim(s) -Abstract of the Disclosure</p> <p>3. <input type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets]</p> <p>4. <input checked="" type="checkbox"/> Oath or Declaration [Total Sheets <u>6</u>] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Box 5 below] i. <input type="checkbox"/> <u>DELETION OF INVENTORS(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).</p> <p>5. <input checked="" type="checkbox"/> Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</p>	<p>6. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies</p> <p>ACCOMPANYING APPLICATION PARTS</p> <p>8. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>9. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)</p> <p>10. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>11. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations</p> <p>12. <input checked="" type="checkbox"/> Preliminary Amendment</p> <p>13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>14. <input checked="" type="checkbox"/> Copy of two Verified Statements Claiming Small Entity Status filed in prior Application Serial No. 08/315,892, status still proper and desired</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>16. <input checked="" type="checkbox"/> Other: Copy of Revocation and Power of Attorney; copy of Supplemental Declaration and Power of Attorney filed in prior Application Serial No. 08/315,892.</p>

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:
☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application Serial No. 09/489,218, filed January 21, 2000, which is a Continuation of prior application Serial No. 09/061,365 filed April 16, 1998, which is a divisional of prior application Serial No. 08/315,892 filed September 30, 1994.

18. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	20583 (Insert Customer No. or Attach bar code label here)	or <input type="checkbox"/> Correspondence address below	
NAME			
ADDRESS			
CITY	STATE	ZIP CODE	
COUNTRY	TELEPHONE	FAX	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Express Mail No.: **EL 501 633 878 US****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**Prior application: Examiner To be assignedArt Unit 1648Assistant Commissioner for Patents
Box PATENT APPLICATION
Washington, DC 20231

Sir:

This is a request for filing a ☒ continuation ☐ divisional application under 37 CFR § 1.53(b), of pending prior application no. 09/489,218 filed on January 21, 2000

of Pramod K. Srivastava
(inventor(s) currently of record in prior application)

for Immunotherapeutic Stress Protein-Peptide Complexes Against Cancer
(title of invention)

1. ☒ The filing fee is calculated below, taking into account the Preliminary Amendment submitted herewith:

PATENT APPLICATION FEE VALUE

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	51	-20	31	\$22.00 each	682.00
Independent	5	-3	2	\$82.00 each	164.00
Basic Fee					690.00
Multiple Dependency Fee If Applicable (\$270.00)					270.00
Total					1,806.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern					- 903.00
Total Filing Fee					\$ 903.00

2. ☒ Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

3. ☒ Amend the specification by inserting on page 1, under the title, the following sentence: This is a continuation of application no. 09/489,218 filed January 21, 2000, which is a continuation of application no. 09/061,365 filed April 16, 1998, now U.S. Patent No. 6,017,544, which is a division of application no. 08/315,892 filed September 30, 1994, now U.S. Patent No. 5,750,119, each of which is incorporated by reference herein in its entirety.

- 4a. ☐ Transfer the drawings from the prior application to this application and abandon the prior application as of the filing date accorded this application. A duplicate copy of this sheet is enclosed for filing in the prior application file.
- 4b. ☐ New formal drawings are enclosed.
- 4c. ☐ Informal drawings are enclosed.
- 5a. ☐ Priority of application no. $\phi\phi$ filed on $\phi\phi$ in $\phi\phi$ is claimed under 35 U.S.C. §119.
- 5b. ☐ The certified copy has been filed in prior application no. $\phi\phi$, filed $\phi\phi$.
- 6. ☒ The prior application is assigned of record to Mount Sinai School of Medicine of New York University.
- 7a. ☒ The Power of Attorney appears in the original papers in the prior application no. 08/315,892, filed September 30, 1994; a copy of the Power of Attorney is submitted herewith. A copy of the Supplemental Declaration and Power of Attorney filed in prior Application Serial No. 08/315,892 is also submitted herewith.
- 7b. ☐ Since the Power of Attorney does not appear in the original papers, a copy of the Power in prior application no. $\phi\phi$, filed $\phi\phi$ is enclosed.
- 8. ☐ This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no. $\phi\phi$, filed on $\phi\phi$ be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no. $\phi\phi$ is enclosed.
- 9. ☐ The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no. $\phi\phi$ is the same as the content of the computer readable form submitted in application no. $\phi\phi$.

005723 000000 2225500

- [illegible]

Adriane M. Antler 32.605
Adriane M. Antler (Reg No.)

PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, NY 10036
Tel. No. (212) 790-9090